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ABSTRACT

One purpose of this report is to communicate with all interested parties the status of the Southwestern Library Interstate Cooperative Endeavor (SLICE) Project as of March 31, 1973. A second - and very important - purpose is to stimulate and solicite "feedback," suggestions and guidance for future SLICE Office activities. Candid evaluation and reaction by all is sincerely welcomed by the SLICE Office staff. In keeping with the evaluation findings of last year, this report is purposefully brief and concise. Inquiries or further clarification on any topic are welcomed. Progress Memos for January and February contained some details which are only summarized in this Quarterly Report. Included in the report are: (1) office operations and project management, (2) planning a six-state regional bibliographic network, (3) the continuing education of librarians in the southwest (CELS) project, (4) fiscal affairs, (5) a working paper on multi-state regional networking and (6) the distribution record of this report. (Other SLICE quarterly reports are: ED 065 147 and 065 148) (Author/NH)

ED 075034

Southwestern Library Interstate Cooperative Endeavor (SLICE)

A Project of the

SOUTHWESTERN LIBRARY ASSOCIATION

TO PROMOTE ALL LIBRARY INTERESTS IN THE SOUTHWEST AND MEXICO

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SLICE OFFICE QUARTERLY REPORT

For The Period

January 1, 1973 To March 31, 1973

CLR No. 559

Prepared By

SLICE Office Staff

April 16, 1973

LI 004 270

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ACKNOWLEDGEMENT

The work reported herein would not have been possible without the financial support of the Council on Library Resources, Inc. and the state library agencies in Arizona, Arkansas, Louisiana, New Mexico, Oklahoma, and Texas. Additionally, the assistance of the SWLA Board and the state library associations in each of the six states is gratefully acknowledged. The University of Texas Southwestern Medical Schools' organizational support is also appreciated.

SLICE OFFICE QUARTERLY REPORT

For The Period

January 1, 1973 To March 31, 1973

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SLICE Office Quarterly Report For The Period

January 1, 1973 To March 31, 1973

One purpose of this report is to communicate with all interested parties the status of the SLICE Project as of March 31, 1973. A second - and very important - purpose is to stimulate and solicite "feedback", suggestions and guidance for future SLICE Office activities. Candid evaluation and reaction by all readers is sincerely welcomed by the SLICE Office staff. In keeping with the evaluation findings of last year, this report is purposefully brief and concise. Inquiries or further clarification on any topic are welcomed. Progress Memos for January and February contained some details which are only summarized in this Quarterly Report. The distribution of this Quarterly Report is documented on the last page.

I. Office Operations and Project Management

Much of January was devoted to (1) preparing the new CLR proposal and contract with UTSMS for a two year extension of the SLICE Project, (2) setting up the new accounting records, and (3) completing the final report on the first year. Copies of these three documents were distributed to all interested parties.

Communication within and outside the region - by letter and telephone - are itemized on the attached tables. The SLICE Office Director's travel during the three months is attached to the enclosed CLR Financial Report. A total of 27 days was spent in travel status out of 65 "working days" (i. e., 41% of working time was in travel status). Even at that level of travel, three invitational trips were cancelled in order to have time in the office or because of conflicts with other trips.

The SLICE Project was represented at the New Mexico Library Association Conference in March by Mr. Pearce Grove, SWLA President. Although SLICE did not have a representative at the March Louisiana Library Association Conference, the SLICE Office Director was present for the Louisiana Governor's Conference on Libraries in February.

The enclosed blue sheet explaining the SLICE Project has been widely distributed. The SWLA Newsletter, Vol. 22, No. 1 (February, 1973) carried a series of short news items regarding current SLICE projects. This issue was mailed to 1,858 members of SWLA.

The SLICE Office continues to get several inquiries a week about the Project - particularly from persons or organizations out of the six state region. In order to assist in providing the requested information, copies of the three quarterly reports and the final report for the first year have been deposited with ERIC. Additionally, a summary article has been submitted for publication (at the Editor's request) in a forthcoming issue of Illinois Libraries on interlibrary cooperation. Reprints of this article will be used for responding to future inquiries.

During this quarter, increased attention was given to SWLA-related activities. As a project of SWLA, the SLICE Office is concerned with the future success and effectiveness of the new SWLA reorganization. Interstate interlibrary cooperation will require the work of many persons and groups throughout the SWLA structure. The establishment of an SWLA Executive Secretary "office" in the Dallas area was planned with the SWLA Executive Board and a Search Committee activated.

(Mr. David Reich of the Dallas Public Library is effectively chairing this committee.) Planning of the October, 1974 SWLA Conference in Galveston was initiated by Mr. Grove, Mr. Heartsill Young (SWLA President-Elect), and the local Arrangements Committee. Since the timing of this Conference will coincide with the last phase of the CLR two year study of a regional bibliographic network, it is planned to incorporate the study findings in the Conference programming. Preliminary contacts with the Moody Foundation indicate interest in this possibility. Creation of SWLA Interest Groups on various aspects of a regional bibliographic network is one method of stimulating both SWLA activity and furthering interstate cooperation.

The SLICE Advisory Council was reorganized in line with the new structure of SWLA. The current members of the SLICE Council are listed on the attached. The next formal meeting is scheduled May 18th in Dallas.

In summary of Office operations and project management this quarter, most of the activity has involved getting the "decks cleared and gear stowed" to tackle the objectives of the new two year program. The anchor is up, steam is being generated, the course is being plotted, and the crew is coming on board. Its time to start the voyage through the uncharted waters - and beware of reefs!!

SUMMARY OF SLICE OFFICE LETTER COMMUNICATIONS

JANUARY 1, 1973 TO MARCH 31, 1973*

State	January	February	March	Total for Quarter
Arizona	-	4	2	6
Arkansas	-	2	14	16
Louisiana	3	5	3	11
New Mexico	1	4	3	8
Oklahoma	-	4	4	8
Texas	1	6	8	15
Total for Region	5	25	34	64
Out of Region	8	22	24	54
Total	13	47	58	118

*Number of original letters written by SLICE Office. Each letter has about five carbon copies. Thus, approximately 590 separate letters were issued this quarter.

The SLICE Project Of The

Southwestern Library Association

What Is SLICE?

SLICE is an acronym for Southwestern Library Interstate Cooperative Endeavor. It is a new type of organization evolving from the Southwestern Library Association (SWLA) Interstate Cooperation Committee work in 1969/70 and SWLA Board action. SLICE is a SWLA project designed to further interstate cooperation by exploring possible cooperative ventures and to assist in interstate regional development of library resources and services in the six state SWLA area.

The SLICE concept is a result of a SWLA Conference on Interstate Cooperative Endeavor sponsored September 16-18, 1970, by the six SWLA state library agencies. Participants in that Conference recommended eleven areas of interstate cooperation and suggested the formation of a SLICE Project to be sponsored by SWLA.

The formation of the SLICE Office on October 1, 1971, was made possible by a $25,000.00 grant to SWLA from the Council on Library Resources. Continuation of the SLICE Project for two more years has been assured by an additional $50,000.00 grant from the Council on Library Resources, effective January 1, 1973. In addition to the Council on Library Resources grants, the SLICE Project has also been funded by a total contribution of $6,000.00 from each of the six state library agencies in the SWLA region. The SLICE Project is coordinated by a SLICE Advisory Council composed of each state librarian (6), the vice president/president-elect of the six state library associations, and the SWLA President. The Council is assisted in its function by three advisors: HEW Office of Education Region VI Library Program Officer, Chairman of SWLA New Directions Task Force, and the immediate past president of SWLA. The Council established the SLICE Office through contract with the University of Texas Southwestern Medical School in Dallas, which is providing office space and and equipment and some indirect costs. The SLICE Office is staffed with a Director and a part-time secretary. The management of the SLICE Office is under the direction of a three-member SLICE Executive Committee elected from the SLICE Council.

What Are The Goals Of SLICE?

During the first year, SLICE emphasized three program goals:

1. Extending to the six states in SWLA the use of the MARC-based services developed by the Oklahoma Department of Libraries and training of library staffs on the potential advantages of a MARC-based interstate network.
2. Developing a strategy for continuing education for all levels of library staff members in the six states.
3. Initiating and stimulating regional planning and exchange of ideas among the six states for meeting library needs that are greater than any one state can meet alone, as identified by SWLA New Directions Task Force and SLICE Advisory Council.

What Has SLICE Achieved?

During the first year, SLICE accomplished the following:

1. Established SLICE Office, employed staff, established fiscal control and reporting system.
2. Informed library community in six states regarding establishment and objectives of SLICE; presented the SLICE story to six state library association conferences.
3. Issued monthly progress reports and quarterly reports and a Final Report for the first year.
4. Initiated regional planning with the SLICE Advisory Council in several meetings.

5. Initiated the SLICE/MARC-O Project by:
   (a) Preparing and distributing a SLICE/MARC-O Description Of Services Brochure
   (b) Conducting fifteen workshops in six states introducing 643 librarians to the MARC-O services
   (c) Provided specific MARC-O services to 65 libraries in six states.
6. Cooperatively with the National Book Committee and ALA's Office for Library Service to the Disadvantaged assisted in the development of a four day O. E.-sponsored Institute on Library Services to the Disadvantaged conducted in Norman, Oklahoma, October 5-9th, 1972.
7. Planned a six state survey of continuing education needs of all levels of library staff members and obtained $11,000.00 funding from the six SWLA states to develop a viable means of meeting these needs.
8. Cooperatively with Ohio State University and the SWLA/SELA Education Committees developed a plan for training 300 librarians in "Planning and Evaluation of Library Programs" via a Pre-Conference Institute held in New Orleans on October 31-November 1, 1972, in connection with the joint SELA/SWLA Conference.
9. Cooperatively with the SLICE Advisory Council identified priority SLICE projects and funding sources for year two. Each state has pledged $4,000.00 funding of the SLICE Office for the second year activities.

What Is The Future Of SLICE?

As long as SLICE stays viable by providing programs needed by the six state region, the future is bright. The need for regional planning and cooperation among all types of libraries is fundamental to improving library resources and services through staff development and the use of new technology. SLICE has sparked this approach to meeting the challenges of our changing world. The main objectives for the second year of the SLICE Project will be working toward the development of a systematic regional plan for increasing and stimulating the sharing of library resources, services, and expertise among all types of libraries in the six SWLA states. Particular emphasis will be placed on developing a systematic modular plan for maximizing the use of MARC records in an interstate network configuration designed to best serve the SWLA region.

In the same manner, state-based interlibrary loan networks in the region will be reviewed and compared with the intent of developing a plan for regional interlibrary loan network compatible with the bibliographic network. Since adoption and use of new systems requires acceptance by librarians, "participatory planning" is necessary for successful implementation of any regional plan. Through a series of Planning Conferences and Working Papers, the key librarians in the region will be invited and encouraged to participate in the planning process. An additional specific aim of the two year project is to objectively determine the need for and function of a possible "interstate regional library development agency". Financial, legal, and organizational aspects of such a regional agency will be reviewed and analyzed. Developments in other interstate regions and national trends in regional structure and planning will be considered. Recommendations will be made regarding the future developments of the SLICE Project Office or other organizational alternatives (such as a Federation of States or an Interstate Library Compact).

The librarians of SWLA have responded favorably to the SLICE concept. In a way, SLICE is the result of the hopes and aspirations for improved library service typical of all Southwestern librarians. SLICE offers a new dimension in library development in this six state region. The librarians are involved and interested - and, as a result, things are happening!!!

More specific details of SLICE activities are available on request from:
SLICE Office, 2600 Stemmons, Suite 188, Dallas, Texas 75207, telephone (214) 631-1272.

MEMBERS OF THE SOUTHWESTERN LIBRARY ASSOCIATION AUTOMATICALLY

RECEIVE PERIODIC PROGRESS REPORTS ON SLICE ACTIVITIES

3/18/73

SOUTHWESTERN LIBRARY ASSOCIATION

SLICE Advisory Council Effective April 11, 1973

STATE	STATE LIBRARIES DIRECTORS	STATE LIBRARY ASSN. REP.	TERM ENDS
Ariz.	Mrs. Marguerite B. Cooley, Dir. Arizona Dept. of Lib. & Archives Capitol Building, Third Floor Phoenix, Arizona 85007	Mrs. Dorothy Weiler, Director Tempe Public Library P. O. Box 5002 Tempe, Arizona 85282	9-29-73
Alternates	Mrs. Edith Matthews, Librarian Library Extension Services Dept. of Library & Archives 1802 West Jefferson Phoenix, Arizona 85007	Mr. Frank Van Zanten Ironwood Apts. #68 1475 N. Wilmot Road Tucson, Arizona 85712	
Ark.	Mrs. Karl Neal, Director Arkansas Library Commission 506-1/2 Center Street Little Rock, Arkansas 72201	(2) Mr. Jerrel K. Moore Library Director State College of Arkansas Conway, Arkansas 72032	1- 1-74
Alternates	Miss Freddy Schader Arkansas Library Commission 506-1/2 Center Street Little Rock, Arkansas 72201	Mrs. Alice Gray Little Rock Public Library Little Rock, Arkansas 72201	
La.	(2) Miss Sallie Farrell, Director Louisiana State Library P. O. Box 131 Baton Rouge, Louisiana 70821	Mr. Sam Dyson Director of Libraries Louisiana Tech. Institute Ruston, Louisiana 71270	
Alternates	Mr. Murrell Wellman, Assoc. State Libn. for Readers & Tech. Serv. Louisiana State Library P. O. Box 131 Baton Rouge, Louisiana 70821	(To be named)	
N. Mex.	Mr. Edwin Dowlin, Director New Mexico State Library Box 1629 Santa Fe, New Mexico 87501	Mr. Don F. Dresp, Director New Mexico Library Association Branigan Memorial Library Las Cruces, New Mexico 88001	3-31-73
Alternates	Mrs. Esta Lee Albright, Head Library Development Division Box 1629 Santa Fe, New Mexico 87501	Mrs. Kathleen Puffer, Librarian Veterans Administration Hospital Library 2100 Ridgecrest Drive, S. E. Albuquerque, New Mexico 87108	

Okla.	Mr. Ralph Funk, Director Oklahoma Dept. of Libraries 109 State Capitol Box 53344 (mailing address) Oklahoma City, Oklahoma 73105	Mr. Leonard Eddy University of Okla. Health Sciences P. O. Box 6346 Moore, Oklahoma 73160	4- 7-73
Alternates	Mr. Robert L. Clark MARC-O Project Director Oklahoma Dept. of Libraries 109 State Capitol Box 53344 (mailing address) Oklahoma City, Oklahoma 73105	Mrs. Elizabeth Geis Library Resources State Department of Education Oklahoma City, Oklahoma 73105	
Texas	Dr. Dorman H. Winfrey, Director Texas State Library P. O. Box 12927, Capitol Station Austin, Texas 78711	Mr. Richard L. O'Keeffe, Librarian Rice University P. O. Box 1892 Houston, Texas 77001	6-30-73
Alternates	William D. Gooch, Asst. State Libn. Texas State Library Box 12927, Capitol Station Austin, Texas 78711	Mr. James O. Wallace, Librarian San Antonio College Library 1001 Howard Street San Antonio, Texas 78284	

SWLA REPRESENTATIVES ON SLICE COUNCIL

Mr. Pearce Grove, Director
Eastern New Mexico Univ. Library
Portales, New Mexico 88130
(SWLA President, 1973-74)

(1) Mr. Lee B. Brawner, Executive Director
Oklahoma County Libraries System
131 N. W. Third Street
Oklahoma City, Oklahoma 73102
(SWLA Immediate Past President)

Mr. Heartsill H. Young
Assistant to the Dean
Graduate School of Library Science
The University of Texas at Austin
Austin, Texas 78712
(SWLA Vice President, President-Elect)

CONSULTANTS TO THE SLICE COUNCIL

Miss S. Janice Kee
Library Services Program Officer
Department of HEW-USOE Region VI
1114 Commerce Street
Dallas, Texas 75202

Dr. Don D. Hendricks, Director
University of Texas
Southwestern Medical School Library
13854 Rolling Hills Lane
Dallas, Texas 75240

Mrs. Allie Beth Martin, Director
Tulsa City-County Library System
400 Civic Center
Tulsa, Okalhoma 74103

SLICE OFFICE

Miss Maryann Duggan
SLICE Office Director
2600 Stemmons, Suite 188
Dallas, Texas 75207

Notes:

(1) Chairman of SLICE Council & Exec. Committee
(2) Members of Executive Committee

II. Planning A Six-State Regional Bibliographic Network

The "objectives" of the SLICE Project for the next two years were identified as follows in the CLR grant proposal dated December 15, 1972:

> "During the next two years, the SLICE Project will work toward the development of a systematic regional plan for increasing and stimulating the sharing of library resources, services and expertise among all types of libraries in the six SWLA states (Arizona, Arkansas, Louisiana, New Mexico, Oklahoma, and Texas).
>
> Particular emphasis will be placed on developing a systematic, modular plan for maximizing the use of MARC records in an interstate network configuration designed to best serve the SWLA region. Design requirements and cost data will be developed for various alternative types of regional bibliographic networks.
>
> In the same manner, state-based interlibrary loan networks in the region will be reviewed and compared with the intent of developing a plan for regional interlibrary loan network compatible with the bibliographic network.
>
> Since adoption and use of new systems requires acceptance by librarians, "participatory planning" is necessary for successful implementation of any regional plan. Through a series of Planning Conferences and Working Papers, the key librarians in the region will be invited and encouraged to participate in the planning process.
>
> In like manner, implementation of a plan is not possible without the support of top administration. Meetings will be arranged with regents, governors, school administrators - at the state level - to share the planning data and to seek their assistance in implementation. If appropriate and necessary, legislation required for organizational and financial support of the regional network will be proposed.
>
> An additional specific aim of the two year project is to objectively determine the need for and function of a possible "interstate regional library development agency." Financial, legal, and organizational aspects of such a regional agency will be reviewed and analyzed. Developments in other interstate regions and national trends in regional structure and planning will be considered. Recommendations will be made regarding the future developments of the SLICE Project Office or other organizational alternatives (such as a Federation of States or an Interstate Library Compact)."

With regard to this project, much of the SLICE Office activity during the quarter has been related to:

(1) Identifying ongoing MARC-based systems that might be suitable to the region.

(2) Considering possible organizational alternatives for a regional "carrier" of such a network.

(3) Developing a strategy for achieving the above stated objectives - in view of recent national and regional developments.

Only preliminary progress has been made in these three areas, as follows:

Within the six state region, there are only two ongoing MARC-based systems serving more than one library (as far as the SLICE Office has been able to determine). These are MARC-O and MARCIVE. Although several libraries use MARC for internal purposes, it appears that only these two systems have possible potential and interest in serving as a regional bibliographic data base. Both of these systems are off-line, batch mode and use an "institutional" computer. The MARC-O system has full MARC records in the Data Base. MARCIVE uses a stripped-down MARC record to reduce processing and storage costs. MARCIVE is producing catalog card sets (off-line); MARC-O has yet to develop this capability.

Although last fall Louisiana proposed a Library Network Center designed to replicate OCLC, recent conversations with the involved parties indicate this devlopment is "hung-up" on computer selection.

ASERL's study of an OCLC replication indicates economic and technical feasibility of that system for that region. Louisiana is in the ASERL region and Tulane has indicated intention of joining that network as has the New Orleans Public Library. The ASERL group has contacted the Southern Regional Education Board (SREB) to explore the possibility of that agency being the "carrier" of the OCLC replication. During March, 81 libraries in the ASERL region indicated financial commitment to join such a system. Site location of the computer has been suggested for New Orleans or for Atlanta. If SREB does become the "carrier," it should be noted that Texas and Arkansas (as well as Louisiana) are members of SREB via legislative action. If the computer site should be located in New Orleans under the umbrella of SREB, then planning for the six SWLA states would be greatly influenced. The SLICE Office has established communication with SREB to exchange interests and planning data.

During the quarter, the SLICE Office staff has attempted to become more informed on various MARC-based systems that might be suitable for this region. A visit to OCLC in February was most helpful in getting more facts on that system. A series of meetings with both Information Design and Information Dynamics personnel was helpful in clarifying a possible role for these systems in a six state network. Contact with California personnel has provided useful information on the current extensive study of technical processing costs and possible bibliographic networks being sponsored by the Office of the Chancellor of the California State Universities and Colleges. A visit to BALLOTS (at Stanford) and other West Coast systems is planned in the near future to gain familiarity with these developments. The experiences of NELINET with OCLC tie-in are being followed as their findings will be important to our region.

Grace Stevenson said in her study of SWLA that the main characteristics of this region were (1) the overwhelming size of Texas and (2) the geographic remoteness and distance between population centers. Both of these characteristics are significant in planning any type of regional bibliographic network. Thus, during this quarter an effort was made to appraise the intentions or plans of the larger libraries in Texas with regard to development of computer-based bibliographic systems. This action is based on the assumption that the bibliographic records created by the largest library in the region would be of major importance in developing a regional bibliographic data base. The University of Texas at Austin has the distinction of reporting the largest number of holdings of any library in the region. Certainly, all of the University of Texas System libraries combined constitute an impressive collection of holdings geographically dispersed at key locations in the region. Thus, logically it would seem that the plans of these institutions would be vital to developing a computer-based network in the region. Contact was made in February with Mr. David Clay, Assistant to the President of

the Austin campus, and Mr. Merle Boylan, Director of Libraries of the Austin campus, - both of whom are new to the region having come from the University of Massachusetts only recently. The purpose of this visit was (1) to establish lines of communication, (2) to acquaint them with the SLICE Project, and (3) to seek their views on a regional bibliographic network and the possible role of the Austin campus in such a development. Both individuals expressed a strong interest in the concept of a regional network and were very concerned that any computer-based bibliographic system proposed be one in which the Austin campus could participate. They were both concerned that a "blind commitment" to OCLC might result in a regional system in which they could not afford to participate due to high costs per cataloged unit. An exhaustive study of possible bibliographic systems for the Austin campus is in process and both indicated that any final decision on a specific system will be deferred until this study is completed. The SLICE Project's responsibility for assisting in regional development was emphasized and an offer was made to provide (thru SLICE) a forum for future planning discussions. Additional meetings with Mr. Clay and Mr. Boylan are scheduled in April.

One major development during the quarter was a meeting of library directors which was planned by the Interuniversity Council (IUC). The initial purpose of this meeting was to inform interested academic library directors in Texas of the IUC plans for an OCLC tie-in and eventual replication. SLICE offered to assist in cosponsoring this meeting provided members of the SLICE Advisory Council and key librarians from the other five SWLA states (as well as public librarians) were invited to participate. The SLICE Office provided the IUC staff with a list of 16 names of library directors and/or SLICE Council members in the five other states that should be invited. Invitations were handled by the IUC staff and the meeting was conducted by IUC personnel. The record of actual invitees and attendees is attached. The cost to SLICE for this meeting - as invoiced by IUC - was $413.51. The program for the meeting and Mr. Brawner's letter to IUC following the meeting are also enclosed. The record of interest in an OCLC system as reported by the attendees is enclosed as is a "statement of concerns" by a group of university librarians who felt that "blind commitment" to OCLC was not the proper direction. Excerpts of a letter (dated March 1) from Mr. David Clay explaining the position of the Austin campus are also enclosed. As a result of SLICE's involvement, IUC has offered to expand the planning and development of their system to include a Southwest Library Council. As recently as April 12th, the IUC group is trying to develop a satisfactory contract with OCLC and to officially broaden the planning base to include non-IUC institutions. The SLICE Office has continued to offer assistance in both of these matters.

With regard to the second concern (i. e. organizational alternatives for a regional "carrier" of an interstate network), a Working Paper on "Multi-State Regional Networking" was prepared during the quarter. Although specifically prepared for a forthcoming planning conference of the Mountain Plains Library Association, the content and concepts are valid to the development of a legally-based interstate regional library agency in the Southwest. The immediate problem faced by IUC, for example, in implementing an OCLC replication - and the ASERL/SREB development - are typical examples of organizational and legal structures discussed in this Working Paper. It is enclosed and comments are welcomed. Charters, copies of compacts, and other founding instruments of the following agencies have been (or are being) obtained and will be reviewed during April and May with the help of consultants in this field:

WICHE, SREB, OCLC, NELINET, and NEBHE, Federation of Rocky Mountain States, and other agencies such as the Interstate Oil Compact Commission, etc.

In summary of this project, most of the activity during this quarter has been related to getting oriented to the new objectives of the CLR grant, establishing credibility with the academic library community, concentrating on multistate organizational patterns, and learning more about on-line bibliographic systems. The dynamic nature of the various developments in the region - combined with the fluctuating federal role for financial support of library networks - has added extra dimensions to the planning tasks. The course is still uncharted, but a few of the reefs and pending storms have been spotted and the crew alerted. The next step is to proceed with collection of pertinent data and report the findings to the other ships sailing the same unchartered sea.

SUMMARY ANALYSIS OF INVITEES AND ATTENDEES
BY STATES AND TYPE OF LIBRARY FOR THE FEBRUARY 26TH
LIBRARY DIRECTORS MEETING COSPONSORED BY IUC, SLICE, CSCL, AND T.I.E.

	Arkansas		Louisiana		New Mexico		Oklahoma		Texas		Total		Percent	
	Invited	Attended	Invited	Attended	Invited	Attended	Invited	Attended	Invited	Attended	Invited	Attended	Invited	Attended
State Library	1	0	1	0	1	*	1	1	1	1	5	2	6	3
Public Libraries	0	0	0	0	0	0	0	0	10	5	10	5	12	8
State Acad. Agency	0	0	0	0	0	0	0	1	1	1	1	2	1	3
Community College	0	0	0	0	0	0	0	0	1	2	1	2	1	3
Medical Schools	0	0	0	0	0	0	0	0	5	3	5	3	6	5
College & Univ.	1	1	2	0	3	2	3	2	52	38	61	43	71	74
SLICE Adv. Council	0	0	0	0	0	0	1	1	0	0	1	1	1	1
Other	0	0	0	0	0	0	0	0	2	2	2	2	2	3
Total	2	1	3	0	4	2	5	5	72	52	86	60	-	70
Percent	2	1	3	0	4	3	6	8	85	88	-	70	-	-

*Delegated representation to a New Mexico University

LIBRARY DIRECTORS MEETING
Southern Methodist University
February 26, 1973

(Jointly sponsored by IUC, CSCL, TIE and SLICE)

AGENDA

10:00-10:05	--	Welcome	Paul Hardin, III President, SMU
10:05-10:15	--	Introductory Remarks	C. C. Nolen Chairman, IUC Board
10:15-11:30	--	Ohio College Library Center - Origins, concepts, present stage of development	Lawrence G. Livingston
11:30-12:00	--	Question-Answer Period	
12:00- 1:00	--	Lunch	
1:00- 2:00	--	Current State of IUC Planning including prospective regional scope	R. C. Peavey Chairman, IUC Special Committee
2:00- 3:00	--	Discussion Period: Consideration of proposed follow-on steps with other institutions	Panel to respond to questions
3:00	--	Adjournment	

MAR 7 1973

SOUTHWESTERN LIBRARY ASSOCIATION

TO PROMOTE ALL LIBRARY INTERESTS IN THE SOUTHWEST AND MEXICO

PLEASE ADDRESS YOUR REPLY TO:
Lee P. Brawner
Executive Director
Oklahoma County Libraries
131 N. W. Third
Oklahoma City, Oklahoma 73102

March 5, 1973

Mr. Ross C. Peavey, Chairman
Interuniversity Council
Committee for Electronic Lib. Ctr.
P.O. Box 30365
Dallas, Texas 75230

Dear Ross:

On behalf of SLICE let me say again how much we appreciated the opportunity to co-sponsor the February 26 planning meeting with IUC, TIE, and CSCL.

I would judge that the IUC proposal was given a positive expression of interest by most participants at the meeting. I know that IUC will also be in position now to address itself to some of the potential problem areas raised at the meeting.

As expressed at the meeting, please know that SLICE welcomes the opportunity to assist you further in your efforts to investigate and promote the regional or multi-state library participation in your proposed system.

Enclosed find a three-page summary of the SLICE Office responsibilities for the next two years under our present grant from the Council on Library Resources. The emphasis is clearly on "research and development" for the six-state region designed to increase and stimulate the sharing of library resources.

Perhaps "regional communications" is one area where SLICE and SWLA could be of service to you. SWLA publishes a bi-monthly Newsletter to its 1,900 individual and 350 institutional members. Maryann regularly submits SLICE "copy" to the Newsletter. SWLA maintains a Publications Committee which forwards "regional interest" copy to all state library association editors and to the editors of state library agency publications. The SLICE office has also developed a selected mailing list (i.e., mailing labels) which includes the names of some 200 librarians (includes most principal libraries) in the region. This last selected mailing listing may be of interest to you at this time as the most expeditious way to contact other regional institutions regarding their possible participation in your system.

Also find enclosed a listing of the SLICE Council composed of state librarians and state library association vice-presidents from the six states plus SWLA officers. The next scheduled meeting of the Council is set for May 18 in

Dallas. As you will be well along on your development timetable by then, I would hope we could arrange for you or some other IUC representative to meet with the Council at that time.

Thank you again for taking the initiative in this matter, and for your interest in pursuing its development on a multi-state level. Please know that SLICE is very interested in pursuing same with you and with the projected Southwest Library Council.

Sincerely,

Lee

Lee B. Brawner
Chairman

LBB:mn
Enclosures
cc: SLICE Council & Consultants (includes enclosures for persons not attending Feb. 26 meeting)
Maryann Duggan

41 Total Responses
60 Institutions
19 Non respondents

Results of Interest Survey at Library Directors Meeting - February 26, 1973:

VERY HIGH DEGREE OF INTEREST	Estimated Volume of new main entries
Abilene Christian College	5,000
Eastern New Mexico University	8-10,000
Huston-Tillotson College	3- 4,500
Lamar University	11,000
Mary Hardin-Baylor College	4,500
Oklahoma State University	30,000
Oklahoma State Regents for Higher Educ. (40 institutions)	80-100,000
Sam Houston State University	24-28,000
Stephen F. Austin State University	15,000
Texas Southern University	14,000
Texas Tech University	30,000
Tarrant County Junior College	6,000
Total High Estimate:	258,000
Total Low Estimate:	230,500

12 Responses

Results of Interest Survey at Library Directors Meeting - February 26, 1973:

MODERATE DEGREE OF INTEREST	Estimated Volume of new main entries
Abilene Public Library System	10,000
Angelo State University	5 - - 6,000
Baylor University	12,000
Dallas County Community College District	45,000
Dallas Public Library	23,000
Fort Worth Public Library	12,000
Houston Baptist College	4,000
New Mexico State University	(11,000 (72-73) (to 24,000 (73-74)
Oklahoma County Libraries System	8-11,000
Pan American University	?
St. Edward's University	5,000
Southwest Texas State University	?
Southwestern University	3,500-4,500
Texas A&I Univ. at Corpus Christi	8-10,000
Texas A&M University	15,000
Texas State Library	?
UT - Permian Basin	15-20,000
University of Arkansas	25-30,000
University of Houston	40,000
Wiley College	12,000
Total High Estimate:	283,500 *
Total Low Estimate:	253,500 *

* No figures from Pan American, Southwest Texas State, or Texas State Library.

20 responders

Results of Interest Survey at Library Directors Meeting - February 26, 1973:

LOW DEGREE OF INTEREST	Estimated Volume of new main entries
Amarillo Public Library	5,500
Houston Public Library	--
Houston Academy of Medicine - Tex. Med. Ctr.	4,000
Jarvis Christian College	2,000
New Mexico State Library	8,000
UT - El Paso	20,000
UT Medical Branch - Galveston	4-5,000
West Texas State University	6,000
Total High Estimate:	50,500 *
Total Low Estimate:	49,500 *

* No figures from Houston Public Library.

8 Responses

Results of Interest Survey at Library Directors Meeting - February 26, 1973:

NO INTEREST

Trinity University

1 Response

UNIVERSITY OF HOUSTON
CULLEN BOULEVARD
HOUSTON, TEXAS 77004

UNIVERSITY LIBRARIES

MAR 5 1973

MEMORANDUM

TO Those Attending the Meeting in Dallas,
Sunday, February 25, 1973

FROM Stephen R. Salmon, Director of Libraries SRS

DATE February 28, 1973

SUBJECT Statement of Position, and Possible Goals

Enclosed as promised is a typed copy of the statement we agreed to last Sunday and Monday.

I have written David Clay that for openers we might consider something like this for one goal, if not the goal: to present to the user, in a convenient form, as much information as possible and appropriate on local and regional library materials available. This allows for different kinds of information, in different formats, brief entries as well as full, local catalogs, union catalogs, and on-demand displays of information. What it leaves out--and we may or may not want to include this--is a goal of improving service to the user otherwise than through the display of bibliographic information.

If this goal were acceptable to all, we might have as an objective the creation of a bibliographic store, conforming to agreed-upon bibliographic and technical standards, from which could be derived:

1. such products as catalog cards, book catalogs, labels and book cards of various types (including book cards for computerized circulation systems), and bibliographies of local and regional materials on particular subjects;

2. information on the current availability at particular locations of particular items;

3. book orders, records of books on order, and information on dealer performance;

4. local and regional lists of serials received and serials held.

In the first report of the National Libraries Task Force back in 1967, we tried to identify the functions that a cooperative system involving LC, NLM and NAL should perform, and I'll enclose a copy with the thought that it might be suggestive or useful for our purposes.

SRS:vl

Enclosures [Not enclosed with this reproduction]

STATEMENT OF CONCERNS

Eleven Southwest research libraries (University of Texas at Austin, Texas A&M, University of Houston, Texas Tech, Rice, Baylor, University of Texas at El Paso, Southwest Texas University, University of Texas Medical Branch at Galveston, New Mexico State University and New Mexico State Library) have agreed to the following statement of response to the IUC proposal:

1. we are committed to improving services to users and lowering operating costs;

2. we are therefore interested in exploring the possibility of using mechanization for such purposes as:

   a. making the fullest use of regional library resources on a cooperative basis;

   b. lowering the cost of searching for bibliographic data;

   c. lowering the cost of producing catalog cards;

3. we see replication of OCLC as one possible means of accomplishing these objectives, but cannot at this time commit ourselves fully to such a project without further study;

4. we would like a timetable and a structure flexible enough to permit developing concrete goals, and exploring alternatives for achieving them.

Excerpts from David Clay's letter:

THE UNIVERSITY OF TEXAS AT AUSTIN
OFFICE OF THE PRESIDENT
AUSTIN, TEXAS 78712

March 1, 1973

It was good to learn in more detail of the IUC's plans for an OCLC replication project. It may be helpful for you to know my current position. The stress is on the word 'current,' for it is a complex issue, and there may be flaws in my assumptions and reasoning. I now think Austin cannot participate in the project as outlined last Monday. Some of the reasons follow.

The IUC proposal offers many advantages to smaller libraries but few to U.T. Austin. This is tolerable enough and is indeed usual in cooperative enterprises having one disproportionately large library member. We could forego advantage at Austin if this were the price of meeting our obligation to share our material and professional resources as fully as possible. Thus, for us, a major difficulty of the IUC plan lies not so much in the absence of benefits for Austin as in the presence of specific disadvantages.

This balance of advantage and disadvantage can be illustrated by looking at how some reasons for joining OCLC may affect different institutions.

a) OCLC costs less than current cataloging and card production methods. This may be true for many libraries, especially for those unable to benefit from economies of scale or for those expecting to find a large portion of their additions already in the data base at the time they are cataloged. A year ago our cataloging costs could have been reduced by joining OCLC. But now, our current cataloging and card costs compare very favorably to the "best case" figures given last Monday ($1.50 per title, $0.035 per card, no charge for originally entered data). Further, it is entirely feasible for us to reduce costs more. For example, we expect to bring the cost of the cataloging process which can now be handled through OCLC to an average of $0.50 per title. If we were to find that more non-MARC cataloging is in the network data base than we expect, that would improve the comparison. If a Southwestern network were to follow the proposal of the Southeastern group and give credits for original entries, that would also help narrow the gap. In any event, pending further developments, I have to take any cost above $0.50 per title as a potential Austin contribution to the welfare of other libraries.

b) OCLC makes it possible for libraries to have the benefits of automation which would otherwise be beyond their reach.

A sub-version of this argument, often heard, is that the development of OCLC programs has already been paid for. If so, the five percent royalty arrangement proposed by Kilgour will pay for them again. Using the best case figures given on Monday, over a five-year period, the royalty would be $262,000 for the Texas group alone. In the short term, during the tie-in period, the figures of $2.25 per title and $0.055 per card provide for a substantial profit for OCLC. How much I cannot say, but it is clear that we are being asked to absorb far more than the actual additional variable cost plus a pro-rated share of the fixed costs of the Center. It may be that these conditions can be negotiated in Texas's favor.

Returning to the main point, it is economically feasible and cost-effective for Austin to continue developing its own automation programs. Still, accepting OCLC programing would be an interesting alternative, provided that it (1) were available at reasonable cost and (2) would do the things we want done as we want them done, when we need them done. Some of the problems connected with the first condition have been mentioned above. The second condition is a major obstacle to Austin participation in an OCLC replication. OCLC is operating one of five major library operations--cataloging and card production. And even here, work remains to be done. Serials control, acquisition, circulation, and information retrieval are scheduled but not in operation. We are reluctant to commit ourselves in advance to accept, on someone else's timetable and sight unseen, systems of someone else's devising. That seems equivalent to delegating to another the principal tool for improving Austin operations while retaining full responsibility for whatever happens.

An example may help. Austin has in substantial measure lost bibliographic control of its serial holdings--almost every very large library has because the traditional manual tools are inadequate. But Austin's serial problem is critical. We cannot afford to wait upon Ohio or to commit ourselves in advance to whatever system Ohio designs.

Nor is it in the interests of the other institutions who depend upon our collections that we should do so.

These reservations cannot be easily removed. OCLC's proposed advisory council of tie-in users would give us a voice without a vote, which is not enough. Nor is it appealing, given the comparative size of our stake, and contribution, to be one vote of 50 or 100.

c) OCLC facilitates inter-library loan. It does. And it is far more likely that smaller libraries will find what they want in the data base than will larger ones. Austin operating costs would be sure to increase because the ease of access to our collections would surely greatly increase our load of inter-library loan transactions.

Perhaps these points will explain why I think that on balance there would be substantial disadvantage to Austin in the IUC proposals.

The key to further action lies in assessing how important to the long-term success of a regional network is Austin's participation in it. I feel strongly that it is in the best interests of other institutions to have our resources and support, but that is not my judgment to make. I cannot believe that there is no way to arrange the benefits to others of Austin participation in some form of network without disadvantage to Austin. This requires an investigation which will be neither quick nor easy: The issues are not that simple. Had the U.T. System Library Committee's proposed project been funded last July, we might be well on the way toward answers. But, at this stage, the choices seem to me to be between making an immediate decision to replicate OCLC, with the likelihood that Austin will be unable to participate, or agreeing to explore and develop other options. It may be possible for IUC to choose the latter course without sacrificing the short-term advantage of reduced cataloging costs if an OCLC tie can be arranged without commitment to replicate. There is a chance that upon examination it will prove best for Austin to go its own way; perhaps it will even become clear that OCLC replication is the answer after all. Fine. It is probably the lesser risk to learn these things first than to learn that OCLC is not the right answer for Texas after a replication has been started.

→ If there is interest in cooperative exploration of this region's unique opportunities, needs, goals, and techniques, Austin will be happy to participate.

Sincerely yours,

David Clay
Assistant to the President

DC cdj
xc Dr. Spurr

III. The CELS Project

This project is concerned with continuing education of librarians in the southwest and was funded by each of the six state library agencies. During this quarter, the following progress has been made on this project:

1. Mrs. Allie Beth Martin agreed to take on the responsibility of (1) conducting the regional survey of needs and existing or planned programs and (2) coordinating the development of a strategy and plan for an ongoing continuing education activity in the SWLA region.

2. Seven different survey instruments* were designed for the following types of libraries or agencies:

(a) State Libraries
(b) Graduate Library School Programs
(c) Library Associations
(d) Public Libraries
(e) School Library Systems
(f) Community College Libraries
(g) Academic Libraries

3. Appropriate participants in the survey were identified, mailing labels prepared and a total of 212 instruments distributed within the six states. The distribution of the survey instruments by states and types of libraries is presented in the following table.

4. A Regional Continuing Education Strategy Planning Conference has been scheduled in Dallas for May 19th and approximately forty participants are being invited. Continuing education consultatnts from outside and within the region are also being invited to assist in the planning. The survey results will be distributed to all participants prior to the May 19th meeting. Completion date for the first draft of the proposed regional plan has been set for June 1st, SLICE Council review starting June 8th, and final report and recommended strategy June 22nd.

5. Liaison has been established with other groups, associations, or agencies concerned with continuing education for library personnel. The specific groups with which communication has been established are:

(a) The National Commission on Libraries and Information Science
(b) The Continuing Education Task Force of the Public Library Association's Strategy for Change Study
(c) The Medical Library Association Continuing Education Office
(d) The WICHE Library Personnel Project
(e) USOE staff concerned with funding training programs for librarians under HEA Title II B
(f) The National Institute of Education (preliminary contact)
(g) The Office of Library Independent Study Projects
(h) The ALA Library Education Division and the AALS Continuing Education Network
(i) The Texas Council on Library Education
(j) Dr. Ralph Conant regarding the H. W. Wilson funded study on library education.

*Copies of these instruments will be published in the final report on the project.

The anticipated direct cost of completing the project is $4,700.00, not counting SLICE Office staff activities.

In addition to the regional survey of continuing education needs and development of a plan of action, the CELS project has been concerned with actually providing prototype packaged workshops or institutes on topics believed to be of high priority in the region. During the first year of operation, the SLICE Office participated in two such developments, namely, the October 4th-6th Norman Institute on Library Service to the Disadvantaged and the October 31-November 1, New Orleans Pre-Conference on Planning and Evaluation of Library Programs. Some activity has continued on both of these two training efforts.

Regarding the Norman Institute on Library Services to the Disadvantaged, the enclosed "Roundup of Library Services to the Disadvantaged Status Report" summarizes the spinoff activity. The need for a regional clearinghouse of the various programs in this area is apparent. Hopefully, in the new SWLA structure an Interest Group will be formed to provide this service. The SLICE Office will try to stimulate the formation of such an Interest Group.

Regarding the Planning and Evaluation Pre-Conference, little interest has been evidenced in follow-up workshops. This lack of interest combined with the nonfunding of the OSU Evaluation Center Library Project (and resultant loss of key personnel) indicates that this workshop package will be of lower priority. However, the planning and evaluation principles and methods are still believed to be valid and will be applied in the SLICE Project as appropriate.

Other specific continuing education activities from the SLICE Office will be deferred until the CELS Survey and Strategy Plan is completed. The only exception will be training projects associated with (1) development of a regional bibliographic network and (2) the program content of the Galveston SWLA Conference in October, 1974. Regarding this latter activity, preliminary contacts have been made with the Moody Foundation and a formal proposal is being jointly developed with Mr. Pearce Grove (SWLA President), Mr. Heartsill Young (SWLA President-Elect), and the SLICE Office Director. This proposal will be submitted to the SLICE Council and SWLA Board on May 18th.

DISTRIBUTION OF CELS SURVEY INSTRUMENT BY STATES AND TYPE OF LIBRARY OR AGENCY

Type of Library or Agency	Arizona	Arkansas	Louisiana	New Mexico	Oklahoma	Texas	Total	Percent
State Library	1	1	1	1	1	1	6	3
Graduate Library Schools	2	0	1	0	1	5	9	4
Library Associations	1	2	2	5	2	14	26	12
Public Libraries	8	15	8	4	9	10	54	25
School Libraries & Media Centers	20	6	9	4	3	17	59	28
Community Colleges	3	3	0	1	2	8	17	8
College & University	6	4	7	4	6	11	38	19
Other	0	1	1	0	0	1	3	1
Total	41	32	29	19	24	67	212	
Percent	19	15	13	9	11	33		100
No. of Association Members, 1969	743	1,038	1,163	333	625	2,609	6,511	
Percent	12	16	19	5	9	39		100

ROUNDUP OF LIBRARY SERVICE TO THE DISADVANTAGED

During the October, 1972, Norman SWLA Institute on Library Services to the Disadvantaged, each of the six state "delegates" agreed to organize a state Task Force to further the spinoff from the regional Institute. The following is an incomplete brief summary of the various activities of some of these Task Forces.

Oklahoma: John Hinkle (ODL) has prepared an excellent kit for training of volunteers to work with the disadvantaged and in nursing homes, jails, and hospitals.

New Mexico: Attendees to the Norman Institute conducted information and planning sessions at the March Conference of NMLA in Las Cruces. Contact Esta Lee Albright (NMSL) for further details.

Texas: Ed Miller (Houston Public Library) and other Texas attendees to the Norman Institute shared their experiences with interested TLA members on April 5, in Fort Worth. Mr. Miller is compiling a list of librarians in Texas who are interested in joing a Task Force on this service.

Arkansas: Over 100 Arkansas librarians and resource people participated in a two day workshop on "A People Centered Program: Progress and Perspective" in Little Rock on March 8-9. This very successful workshop was sponsored by the Arkansas Library Commission (ALC) in cooperation with the Little Rock Public Library. An informative six page report of this workshop is available from ALC.

Arizona: Arlene Bansal (ASL) advises that an all day conference on library service to minority groups was held in Phoenix on April 13th and cosponsored by the Arizona State Library Association and the Arizona State Library. Three position papers were presented and various films shown. Lunch was catered by an intercity group. About 75 persons (librarians and resource people) participated in the conference. Ideas for specific projects in the state were discussed. Report available from ASL.

Louisiana: Linda Gates (LSL) advises that the Louisiana Library Association has formed a Committee on Library Service to the Disadvantaged.

IV. Fiscal Affairs

For accounting purposes, the SLICE Office is now maintaining two separate accounts:

(1) Account 89560

This is for the CELS project and is carried over from the previous year. The source of funds for this account is the initial $2,000.00 per state during 1972. The status of this account as of March 31st is attached.

(2) Account 89552

This is for the second year (12 months) of the SLICE Office and is a composite of the $25,000.00 CLR grant and $15,000.00 from the state contributions. Although the SLICE Office budget for the second and third year has been established at $73,980.00 ($50,000.00 CLR grant, plus $23,980.00 funds from the states), the UTSMS accounting system requires establishing one year budgets for fiscal control. Thus, the $73,980.00 two year budget was divided into a $40,000.00 level for 1973 and $33,980.00 level for 1974. The status of the 1973 budget as of March 31, 1973 is enclosed along with the CLR Financial Report for the first quarter of the $50,000.00 grant.

SLICE Office expenditures continue to average about $2,400.00/month.

SUMMARY OF SLICE BUDGET AND EXPENDITURES ON CELS GRANT* AS OF MARCH 31, 1973

Item	Initial Budget	Expenditures 7-31-72 thru 2-28-73	Expenditures March	Total Expenditures	Balance
Salaries	$5,657.00	$5,657.00	-	$5,657.00	-
Benefits	493.00	485.54	-	485.54	$7.46
Telephone	300.00	355.02	-	355.02	-55.02
Supplies	696.50**	443.95	-	443.95	252.55
Printing	1,000.00	404.34	-	404.34	595.66
Consultants (3)	1,800.00	470.39	-	470.39	1,329.61
Data Processing	450.00	-	-	-	450.00
Travel	500.00	500.00	-	500.00	-
Equip. Rental	103.50**	103.50	-	103.50	-
Totals	$11,000.00	$8,419.74	-	$8,419.74	$2,580.26

*$11,000 Continuing Education for Librarians in the Southwest Grant, Account No. 89560.

**UTSMS transfer of funds from Supplies Category to Equipment Rental Category to cover $3.50 deficit.

SUMMARY OF SLICE COMPOSITE BUDGET AND EXPENDITURES FOR JANUARY 1, 1973 THRU DECEMBER 31, 1973*

Item	Initial Budget	January Expenditures	February Expenditures	March Expenditures	Total Expenditures	Balance
Salaries	$21,681.00	$1,806.75	$1,806.75	$1,806.75	$5,420.25	$16,260.75
Emp. Benefits	1,284.00	-	163.52	163.52	327.04	956.96
Consultants	3,000.00	-	-	-	-	3,000.00
Supplies	2,200.00	-	18.81	59.98	78.79	2,121.21
Printing	3,400.00	47.18	-	27.55	74.73	3,325.27
Data Processing & Telephone	2,222.00	-	-	94.62	94.62	2,127.38
Travel	3,000.00	-	378.34	574.90	953.24	2,046.76
Equipment	250.00	-	-	-	-	250.00
Indirect Cost**	2,963.00	-	-	337.70	337.70	2,625.30
Totals	$40,000.00	$1,853.93	$2,367.42	$3,065.02	$7,286.37	$32,713.63

*SLICE Office UTSMS Account No. 89552 (CLR Grant plus states' funding)

**Calculated at 8% of total direct costs

COUNCIL ON LIBRARY RESOURCES, INC.

ONE DUPONT CIRCLE, N.W.
WASHINGTON, D.C. 20036

Telephone 202-296-4757

FINANCIAL REPORT

CLR No. 559

Name and address of submitting institution: Southwestern Library Association, Inc., The SLICE Office, 2600 Stemmons, Suite 188, Dallas, Texas 75207

Submitted by: (Signature of responsible financial officer)
Mr. Lee B. Brawner, Exec. Chairman, SLICE Executive Committee
(Name & Title - Please type)

Name of Project: Further Development of the SLICE Project of the Southwestern Library Association, Inc.

Nature of Report: Interim [X] Final [ ]
(Please check)

Period of Report (see instructions): From January 1, 1973 To April 1, 1973

EXPENSE ITEMS	Total Approved Budget (1)	Expenditures This Period (2)	Total Expenditures to Date (3)	Balance Available (Col. 1 - Col. 3) (4)
A. Salaries, wages, & employee benefits	$45,945.58	$5,747.29	$5,747.29	$40,198.29
B. Consultant fees	500.00	-	-	500.00
C. Travel	2,612.00	953.24	953.24	1,658.76
D. Supplies & materials	142.42	93.21	93.21	49.21
E. Printing & duplication	600.00	74.73	74.73	525.27
F. Equipment	-	-	-	-
G. Other costs (Telephone)	200.00	80.20	80.20	119.80
TOTAL COSTS	$50,000.00	$6,948.67	$6,948.67	$43,051.33

Total Grant $50,000.00 less receipts to date $5,800.00 balance available $44,200.00

INSTRUCTIONS ON REVERSE SIDE

FINANCIAL REPORT INSTRUCTIONS

1. The period of report is from the starting date of the project to the end of the Council's designated reporting period Please submit one copy of the FINANCIAL REPORT with a set of attachments, fully documented.

2. Expense items:

   A. Salaries, wages, & employee benefits – List names, and all position titles such as project director, research assistant, secretary, etc. State percent of time spent on the project, per annum salary, with beginning and, if applicable, ending dates of employment for each. Identify other jobs performed on a wage basis, i.e., per hour and rate, with beginning and, if applicable, ending dates of employment for each. Itemize benefits such as Social Security, retirement, hospitalization, etc.

   B. Consultant fees – Show names, rate and number of days.

   C. Travel – For each trip, explain the purpose of the travel, and include applicable cost information for both transportation and living expenses. This applies equally to consultants' travel.

   D. – G. – Provide an explanation and computation for each item.

3. Reallocations or revisions of items in the budget upon which the grant is based must be approved in advance by the Council.

4. The Council requires *official* accounting and the signature of the responsible financial officer on the FINANCIAL REPORT.

ATTACHMENT TO FINANCIAL REPORT FOR CLR NO. 559

January 1, 1973 To April 1, 1973

A. Salaries, Wages, & Employee Benefits

Salaries	First Quarter
Miss Maryann Duggan, SLICE Office Director (90% of time on project; began 10-1-71)	$4,185.00
Mrs. Mary Blundell, SLICE Office Secretary (27 hr/wk 10-18-71 to 9-30-72; 30 hr/wk 10-1-72 to 4-1-73. Began 10-18-71)	1,235.25
Employee Benefits (Duggan & Blundell combined)	
O.A.S.I.	211.40
Workman's Compensation Insurance	18.06
Unemployment Insurance	97.58
Total Salaries, Wages, & Employee Benefits	$5,747.29

B. Consultant Fees

None for First Quarter

C. Travel

Inclusive Dates	Destination, City & Institution	Round Trip Mileage	Purpose	Transp.	Living	Total	Acct. Charged
1-15 & 16-73	Columbus, Ohio, OSU	2,076	Planning meet. with Mr. Kilgour & Dr. Foley	Ohio State University paid expenses			
1-19-73	Tulsa, Okla., Tulsa City-Co. Library	530	CELS consultation with Allie Beth Martin	$58.60	$5.00	$63.60	89552-6
1-26 to 2-1-73	Washington, D. C., ALA Conference	2,658	Participate in ALA Conf., meet with SLICE Exec. Com., & with Nat'l. Lib. of Medicine	($204.00 paid by TALON) 17.50	122.90	140.40	89552-6
2-5-73	Austin, Texas, UT	404	Meeting with David Clay	57.50	7.00	64.50	89552-6
2-8 & 9-73	Baton Rouge, La.	836	Governor's Conf. on Libraries	84.00	25.84	109.84	89552-6
2-19 to 2-23-73	Columbus & Cleveland, Ohio	2,354	Study OCLC systems	240.55	124.85	365.40	89552-6
3-1 & 2-73	Galveston, Texas, Moody Foundation & UT	514	Funding of a SLICE project	30.40	20.48	50.88	89552-6

C. Travel continued

Inclusive Dates	Destination City & Institution	Round Trip Mileage	Purpose	Transp.	Living	Total	Acct. Charged
3-7 to 3-9-73	Little Rock, Ark., Ark. Lib. Commission	656	Conducting workshop for service to Disadvantaged	73.90	35.31	$109.21	89552-6
3-15 & 16-73	Okla. City, Okla., Okla. University	428	Participate in Plan. Conf. & Seminar & meet with SLICE Exec. Committee Chairman	19.10	30.31	49.41	89552-6
3-19 to 3-21-73	Washington, D. C., USOE	2,658	Meeting with USOE	($214.70 paid by USOE)			
				$581.55	$371.69	$953.24	

G. Other Costs

Long Distance telephone charges for First Quarter (represents two months charges) $80.20

V. MULTI-STATE REGIONAL NETWORKING

by

Maryann Duggan
Office Director
of the
Southwestern Libraries Interstate Cooperative Endeavor
A Project Of The
Southwestern Library Association

Working Papers
To Be Presented At

MPLA Conference on Interstate Interlibrary Cooperation

Peaceful Valley Lodge and Guest Ranch
Lyons, Colorado
May 23-25, 1973

First Draft
Not to be Quoted or Cited Without Permission

March, 1973

ACKNOWLEDGEMENT

The author is most appreciative of the following organizations currently funding the SLICE Office and related activities or assisting in the experiment of interstate interlibrary cooperation in the Southwest:

Council on Library Resources

Arizona State Department of Library and Archives

Arkansas Library Commission

Louisiana State Library

New Mexico State Library

Oklahoma Department of Libraries

Texas State Library

Southwestern Library Association

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U. S. Office of Education

The State Library Associations of Arizona,

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MULTI-STATE REGIONAL NETWORKING

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DEFINITION OF ACRONYMS

The acronyms used in this paper have the following meanings - loosely translated:

ARL - Association of Research Libraries

ASERL - Association of Southeastern Research Libraries

BMC - The Biomedical Communications network being developed at the national and regional level by the National Library of Medicine

CELS - Continuing Education for Librarians in the Southwest (a SLICE project funded by each of the six SWLA state library agencies)

CLR - The Council on Library Resources (a private foundation concerned with improvement of library resources and services)

CRT - Cathode Ray Tube (a TV-like screen which provides rapid visual images on a computer terminal)

EDUCOM - A national consortium of institutes of higher education

FCC - Federal Communications Commission

HEA - Higher Education Act

I.I.S. - Industrial Information Services (an organization established at Southern Methodist University in 1967 to provide technical information services from the university libraries to business and industrial firms in the North Texas area

I.L.L. - Interlibrary Loan

ISBD - International Standard Bibliographic Description designed to facilitate the international exchange of bibliographic information in both written and machine-readable form

IUC/TAGER - Interuniversity Council/The Association of Graduate Education and Research. A consortia of public and private universities in the North Texas area

LSCA - Library Services and ~~Constitution~~ Construction Act

MARC - Machine Readable Cataloging

MARC-O - The Machine-Readable Cataloging services available from the Oklahoma Department of Libraries

MIST - Medical Information Service by Telephone

MLAA - Medical Library Assistance Act

MPLA - Mountain Plains Library Association

NEBHE - New England Board of Higher Education

NELINET - New England Library Information Network (an interstate project of the New England Board of Higher Education)

NIE - The National Institute of Education established by President Nixon to be legally responsible for planning research and development in any area of education

NLM - The National Library of Medicine

NSF - National Science Foundation

OCLC - The Ohio College Library Center (a nonprofit corporation of academic libraries concerned with an on-line, computer-based cataloging support service)

PNBC - Pacific Northwest Bibliographic Center

RMBC - Rocky Mountain Bibliographic Center

RML - Regional Medical Library

SELA - The Southeastern Library Association (an organization of librarians, library trustees, and libraries in nine southeastern states)

SWLA - The Southwestern Library Association (an organization of librarians, library trustees and libraries in Arizona, Arkansas, Louisiana, New Mexico, Oklahoma, and Texas)

SILC - System for Interlibrary Communication

SLICE - Southwestern Library Interstate Cooperative Endeavor (a Project of the Southwestern Library Association)

S.R.E.B. - The Southern Region Education Board

Telex - A teletypewriter network operated by Western Union

TWX - teletypewriter provided originally by the telephone company

USOE - The U. S. Office of Education

WICHE - Western Interstate Commission for Higher Education (an interstate organization concerned with improving higher education through cooperative programs)

MULTI-STATE REGIONAL NETWORKING

by

Maryann Duggan

I. Introduction

The official motion to call the Mountain Plains Library Association Conference on Interstate Interlibrary Cooperation stated as a Conference objective "to consider ways and means of expediting" this type of cooperation in the eight states of the MPLA region. Networking is one form of cooperation. In line with the Conference objectives, this paper will address various aspects of interstate networking among different types and sizes of libraries within a multi-state region and will consider ways and means of expediting networking in the political, economic, and geographic boundaries of the present library environment. The guidelines suggested by the MPLA Conference Planning Committee will be followed as much as possible in order to develop a "unified whole" for all the Working Papers. In the cases of networking, the Conference Planning Committee raised seven questions which this paper will attempt to address.

II. What is "Networking"?

A. Definitions and Types of Networks

It is essential that the Conference participants start their deliberations with a common background of concepts and definitions related to networking. For the purpose of this paper the following definitions are suggested. A network is "a systematic and planned organization of separate autonomous units interconnected for the purpose of achieving some goal that is more than any one of the units can achieve individually." Let's review this definition very carefully.

systematic--orderly, analytical, quantitative
planned--there is a roadmap, there are objectives, someone knows where we are going
organization--a new entity with life, budget, procedures, and behavior

separate autonomous units--the members, who maintain identity while giving and taking (nodes, if you will)
interconnected--the physical as well as the organizational ties holding the network together
purpose of achieving some goal--function oriented. What is the network designed to do?

Please note that this definition does not specify computers or telecommunications or fancy hardware. The emphasis is on organization in a systematic and planned manner of a group of individual units for a purpose. I believe this o ganizational structure is essential prior to the adoption of sophisticated computer and telecommunication methods. I also believe that the hardware and the technology is on the shelf today that could make it possible for networks to achieve very advanced services--if that is the purpose.

Others in the field may define networks slightly different. Becker and Hays definition is "a set of interconnected points." Technically, this is correct in the electrical engineering or telecommunications field. And networks are really a very old concept. The old party line telephone with an operator at a switchboard is, in fact, a network. Each instrument is a node and the operator is the switching center where decisions are made and nodes interconnected. The purpose of that network is communication--voice grade. The wires provide the vehicle or highway for the voice. The members of the network were users and paid user fees in order to have the benefits of the switching center and the services.

Radio and television networks are also relatively old, and also exhibit some of the characteristics of networks we are considering. The network is regulated by the Federal Communications Commission which establishes basic operating codes designed to protect the

public. Each station must be licensed and thereby agrees to the FCC's code of operation. Yet each local station has the option of program (content) selection, etc. The "headquarters" provides "packaged" programs which are probably superior to local productions, i.e., talent, skill, music, stage settings, actors, etc. The cost of the network is provided by the advertisers (sponsors) who hope to sell their products over the network; thus, the user ultimately pays in the price of the product. If the users don't like the program, the sponsor discontinues support and another "service" is put on the network.

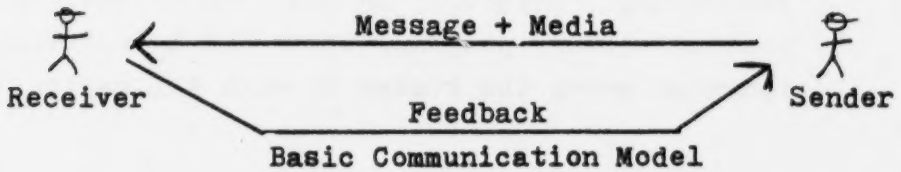
Perhaps these two analogies are a little farfetched, but I offer them for your consideration in thinking about networks. A third analogy which offers some insight in network planning is the one of public utilities--gas, lights, water, and sewage. Again, the organizational structure exists, a purpose is established, separate autonomous units are interconnected, and costs are paid by the user for only the amount of service consumed. Certainly it's cheaper and more efficient to hook up to the light utility than it is to build your own generating plant!

The above analogies also illustrate a basic principle of network design and that is the principle of standardization and compatibility which is discussed in more detail in another section of this paper.

Now let us review the existing library-type networks from a <u>functional</u> viewpoint.

1. <u>Communication Networks</u>

   Functionally, the purpose of a communication network is to communicate between a sender and a receiver.



Basic Communication Model

Components

a. Receivers
b. Message and Media
c. Sender
d. Feedback

Note emphasis on Receivers

This Basic Communication Model is applicable, in my opinion, to not only 1:1 communication, but also to network communications. The model provides a framework for looking at the components in the communication process. If any one component is below par, the system doesn't work too well. The network participants have the responsibility to design the system, and to communicate the desired message in the appropriate media to the selected receiver. Thus a communication network is only a way of achieving communication. The participants are "linked" and "wired" for communication. What is put on the network is an option. Many states now operate a "Library Communications Network". Most of these have the potential of transmitting a variety of messages depending on band width and organizational purpose. So let's look at other fuctional uses of these networks.

2. Document Delivery Networks

This is the fancy term for interlibrary loan! This is a common type of network within most states. These types of networks may interconnect all types of libraries in some form of protocol for use and access to materials. Traditionally, the state library operated networks have not crossed state lines in many regions. These networks function most effectively when a locator file (a bibliographic data base) is available to provide specific information on holdings - with or without a "switching" function. In the case of the Regional Medical Library program, these I.L.L. networks are operated among the states in each RML region by

plan with centralized administration and funding. In the case of ARL libraries, interlibrary loans have followed a relatively unstructural "network" operating as individual autonomous units. However the volume of requests has become so great that this organization is now engaged in a rather extensive study on the feasibility of establishing a more structural network. Certainly a regional, multi-state interlibrary loan network has considerable potential for all libraries.

3. Library Processing Networks

These are networks in which the purpose is to provide technical processing (acquisition and/or cataloging) for the members and users. Traditionally, these have been "centralized", i.e. located in one site which performs all the processing functions. With the advent of MARC (MAchine Readable Cataloging) and telecommunication lines and remote terminals, it is now possible to provide cataloging support in a network configuration, such as the Ohio College Library Center (OCLC) or MARC-O (MARC-Oklahoma) across state lines. This network then becomes a Bibliographic network and can functionally integrate with document delivery networks.

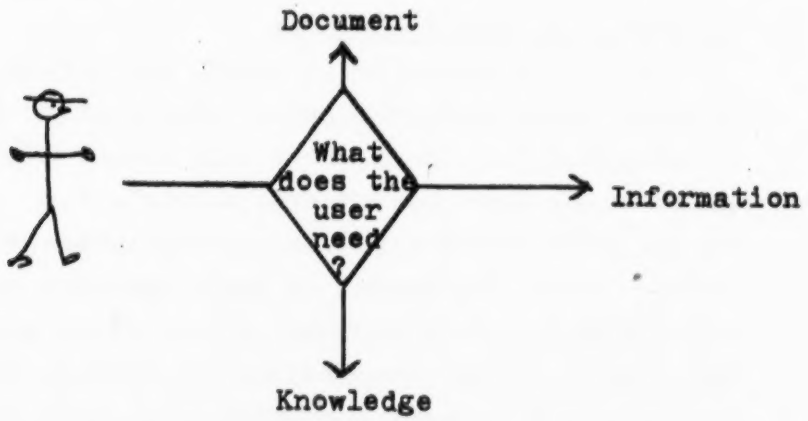
4. Information Networks--Knowledge Networks

This type of network emphasizes "information transfer"--regardless of the packaging of the information. It is separate from document delivery. Generally speaking, two types of information networks are operational today:

a. Information banks providing print-outs of document identifiers meeting certain predefined informational content. There are now 49 computerized information banks that are available commercially. The emphasis is not on the physical document as such, but on the information content of the document.
b. Information banks providing information separate from document packaging. Two examples are audio

tape dial-up systems available at several universities and MIST. MIST (Medical Information Service by Telephone) operates in the State of Alabama and provides medical referral information to health professionals calling in. The emphasis is on information--not documents. These networks may be oriented to educational or problem solving purposes.

Conceptionally, and in practice, all of these types of library-related networks can be put together to provide a new dimension of library services.



In this conceptional model, the local library is the "entry point" into the system. If the facilities or resources of the local library are inadequate to meet the user's needs, the network can be tapped according to plan and function and could be designed to serve more than one state.

B. Potential Benefits and Disadvantages of Networks

What does a library network mean to you? Why should you get involved? Only you can make that decision. But let me share with you some environmental factors you may wish to consider.

Peter Drucker and Ralph Tofler's description of our society tells me that more than ever before it is essential for man to understand himself and his environment if he is to survive. Libraries offer man

this potential--yet most libraries are struggling for survival, also. The explosion of publications, new media, people, and costs is such that the future of the individual library as a self-sufficient entity is questionable. Volumes have been written and spoken on this topic, so I do not intend to labor the point. Suffice it to say that if libraries are to continue to play a viable role in our society, a new approach and methodology must be developed. In my opinion, networks offer that potential. Furthermore, as in the past, librarians who are truly service oriented are vigorously and eagerly seeking new ways to offer new services.

Networks can be the source of these new ways and new services through the following factors:

1. Development of and access to greater resources
2. Freedom from routine processing tasks
3. Access to special information banks--reference services in-depth
4. Provision for multi-media and learning center concepts
5. Direct, anticipatory services oriented to local problems--interaction with the community in an active way
6. Sharing of expertise and unique resources to strengthen the whole

In essence, library networks open a whole new dimension for library services and make it possible for libraries to continue to be responsive and catalytic in this dynamic world. Interstate library networks provide an even broader base of materials and services at reduced cost to the individual state.

What are some of the disadvantages of networks? Networks require,

1. A willing abandonment of some traditions
2. A change in operating policies and procedures
3. A willing abandonment of self-sufficiency and an acceptance of the sharing concept
4. Participation in group decision making and abiding by the group's decision

5. Shifting in "power" from individual units to network units
6. The development of a quantitative or analytical rigor essential for network operation and evaluation. This requires retraining of staff.
7. Total commitment to the network concept

Only you can tell if the benefits are worth the price.

C. Library Network Analysis Theory - Network Design

May I re-emphasize here that a library network is a combination of people, systems, technology, materials, media, and purpose--within a legal, financial, and organizational framework.

A network is really a new organizational entity. In modern organizational theory, networks may be defined as an open system. According to Katz and Kahn*, open systems are characterized by:

1. Importation of Energy

   In some form, the system takes energy from its external environment and receives renewed supplies of energy from other institutions, people, or other social structures. It is not self-sufficient or self-contained.

2. Energy Transformation, i.e., Through-Put

   The network creates a new product, or processes material, or trains people, or provides a service. Work gets done in the network.

3. Product Identification, i.e., Output

   The network exports a product into the environment which is of social or economic value.

4. Cyclic Exchange

   Output furnishes energy which is fed as input back into the network to keep the organization viable. There is a continuous cycle of activity.

5. Negative Entropy

   In the natural course of events, there is a running down of the energy in a system and this leads to disorganization. The open system must store energy--i.e., a survival position requires reserve energy, which gives the system the flexibility to survive.

6. Information Input, Negative Feedback, and Coding Process

   There must be negative feedback to correct errors.

* Katz, Daniel, and Kahn, Robert L., The Social Psychology of Organizations, New York, Wiley, 1966, pp. 19-28.

"When a system's negative feedback discontinues, its steady state vanishes, its boundary disappears, and the system terminates."

7. Differentiation of Roles and Functions

   Social organizations move toward role specializations.

8. Equifinality

   Networks can reach the same final state from different initial conditions and by different paths of development.

The above concepts of open systems organizational theory are applicable to network development and operation. I believe they are also applicable to an individual library, but a network is infinitely more complex since it involves a variety of different organizations working together. The Open Systems Organizational Theory provides insight into causes of failure or patterns of success.

Translating the Open Systems analogy to the library world, the following twelve basic principles of network design are offered for your consideration and planning of interstate networks:

1. Organizational structure that provides for fiscal and legal responsibility, planning, and policy formulation. It must require commitment, operational agreement, and common purpose.
2. Collaborative development of resources, including provision for cooperative acquisition of rare and research material and for strengthening local resources for recurrently used material. The development of multi-media resources is essential.
3. Identification of nodes that provide for designation of role specialization as well as for geographic configuration.
4. Identification of primary patron groups and provision for assignment of responsibility for library service to all citizens within the network.
5. Identification of levels of service that provide for basic needs of patron groups as well as special needs, and distribution of each service type among the nodes. There must be provision for "referral" as well as "relay" and for "document" as well as "information" transfer.

6. Establishment of a bi-directional communication system that provides "conversational mode" format and is designed to carry the desired message/document load at each level of operation.

7. Common standard message codes that provide for understanding among the nodes on the network.

8. A central bibliographic record that provides for location of needed items within the network.

9. Switching capability that provides for interfacing with other networks and determines the optimum communication path within the network.

10. Selective criteria of network function, i.e., guidelines of what is to be placed on the network.

11. Evaluation criteria, procedures to provide feedback from users and operators, and means for network evaluation and modification to meet specified operational utility.

12. Training programs to provide instruction to users and operators of the system, including instruction in policy and procedures.

And, considering the recent trend to automate networks, one additional principle should be added for emphasis:

13. Systems compatibility with other networks, particularly compatibility of machine readable data base generated (to enhance interchange among networks).

The foregoing components of the ideal interlibrary network (one so designed that any citizen anywhere in the region can have access to the total library and information resources of the region through his local library) may be considered the conceptual model, or the floor plan, from which the network can be constructed. Although these design components might be labeled "ideal," they are achievable and they are within reach of the present capability of all libraries today.

The questions before this Conference are:

1. Should an interstate interlibrary network be developed in the MPLA region and for what function?

2. If so, what are the decisions regarding the thirteen design components?

Hopefully, the rest of this paper will assist you in arriving at answers for these two questions.

III. Current Regional/National Networking Concepts and Developments and Implications on MPLA Planning

In the last few years, networking among different types of libraries has become increasingly active. The following are a few of the major concepts and developments that have implications or planning of a multi-state regional network. Although these are listed separately, each concept has influence on the others i.e., the environment for networking is dynamic and interactive. For example, changes in the funding basis of networks will influence organizational structure. In like manner, availability of machine readable bibliographic "data banks" will influence network services as will the development of lower cost telecommunication links and computer storage space. Increased evolution of state-wide library systems and resulting changes in the patterns of interlibrary loan traffic will effect "dependency relationships" among larger and smaller libraries. Thus, although of necessity the following networking concepts and developments are listed "in series", resulting implications on MPLA networking are intertwined and interrelated.

A. Changing Funding Patterns

Prior to January, 1973, the national trend was toward evolution of library systems at the state and national level. Federal funding (through LSCA and HEA programs) was designed to stimulate cooperative sharing of resources and services through the financial support of academic library consortia, inter-type library cooperatives, multi-county library systems, etc. State library agencies were authorized - and, in fact, urged - to provide leadership at the state level for these types of developments under LSCA Title III. Through the Medical Library Assistance Act, multi-state regional networks were funded to stimulate the sharing of resources among health-science libraries in a national plan. Although the battle for preservation of these federal programs is not yet over at this

time, there is strong evidence that categorical programs of this type will be replaced by the revenue sharing concept at the municipal, county, and state level. If this comes to pass, libraries will be required to compete for funds with other governmental units. The financial stimuli which motivated the formation of most of the library networks will no longer be assured. This could mean that libraries will retreat to the pre-1960 level of operating as separate and independent entities - thereby eliminating any possible network development. Or - it could mean that networking is a possible solution to the chaos resulting from this change in federal policy. How? By unifying efforts in a realistic networking plan, is it possible that funding from revenue sharing would be more favorable than if each library fights the financial battle alone? One thing is certain. The commitment of libraries to the networking concept will be tested in the crucible of funding support patterns. It seems inevitable that if a group of libraries want to be involved in a network arrangement, the degree of their commitment will be measured by their willingness to pay their share of the costs in the absence of any incentive funding from federal programs. For example, instead of federal grants to support an academic consortia providing services to members at less than actual costs (due to the federal support), each consortia must now realistically appraise the true cost of the consortia services and decide if they are willing to support the cost from their own budgets. The Association of Southeastern Research Libraries (ASERL) just completed this exercise and have obtained firm financial commitments from 81 libraries to proceed with an OCLC* replication without federal support on a "pay-as-you-use" basis. And, interestingly, public libraries and state library agencies were invited to

* Ohio College Library Center.

join since the larger the volume of use, the lower the unit cost to members. Thus, although the possible loss of categorical federal funds for networks may decrease the motivating stimuli, formation and funding of a network is still possible on a membership support basis if the benefits and services are realistically cost-savings. So, whether the changing pattern of financial support for networks will result in greater cohesiveness or greater fragmentation will depend on the leadership and degree of commitment to the networking concept in a region.

Although categorical grant funding of library programs may be diminishing from the portfolio of USOE, other federal agencies are still (or apparently will be) active in funding certain types of networks. The National Library of Medicine has funded evolutionary steps in a national biomedical communication network which is further discussed below. A recent press release dated March 20th from NELINET announces a $355,500.00 grant from NSF to develop a Northeast Academic Science Information Center to provide rapid access to machine-readable information banks thru academic libraries in a six state region. The newly created National Institute of Education has indicated grant money may be available for research projects related to networking among or to serve educational institutions. As mentioned earlier, The Association of Research Libraries recently received funding from the National Science Foundation to support a national feasibility study of structural interlibrary loan network with centralized management and standardized sub-systems (called SILC: System for Inter-Library Communication).

Private foundations are increasingly more interested in network development. Recent conversations with the Mood[illegible] Foundation, for example, identified an unexpected interest in partially supporting this type of development.

WICHE recently announced a grant from Xerox Foundation to assist in their interstate library personnel training programs. And, of course, the Council on Library Resources has been active in providing financial support to networks, as witnessed by the SLICE/MARC-O project and OCLC.

Another funding pattern is that of developing multi-state support for new organizational regional entities such as WICHE, SREB, NEBHE. This approach will be discussed in greater detail in the following section on organizational patterns.

Thus, alternative funding sources of an interstate, interlibrary cooperative project are available from the following:

1. USOE (maybe)
2. Revenue sharing programs
3. NLM (for health-science related networks)
4. NSF
5. NIE (maybe)
6. Private Foundations
7. Membership dues or user fees (i.e. ASERL)
8. Combination of many sources (i.e. OCLC)
9. Multi-state funds via legislative action

These changing patterns of financial support require definition of network purpose, dedication of effort, and high-level commitment as well as ingenuity and flexibility. The funds <u>are</u> there, though, for those who seek and offer viable programs.

B. <u>Emerging Network Organizational Patterns</u>

The organizational pattern for a network is a major factor in determining funding source, membership, territorial domain, legal base, and even services available to members as well as costs. Again, the recipe for "the best" organizational pattern is not concise or clearly spelled-out for each situation. With regard to multistate regional networks, there are several models that provide possible alternatives. Four of these models will be described below to illustrate the concept - but other types of organizational patterns

are possible.

1. a national network with regional organization units
2. an antonomous regional organization with core staff and composite funding
3. an affiliation of autonomous units (states, associations, individual libraries) without composite funding or core staff
4. a strong evolutionary service unit composed of user/members regardless of location

Let us briefly look at these four models and see the characteristics, benefits, and disadvantages of each from the perspective of MPLA region.

1. <u>A National Network With Regional Organization Units</u>

The key example of this type of organizational structure is the program funded under the Medical Library Assistance Act (MLAA). As initially designed, the MLAA was intended to financially support the building and resource development of individual health science libraries. It soon became apparent that this was a bottomless pit, thus a new strategy was developed to achieve the goal of maximizing availability to health science information. Legislation was revised to permit the establishment of a Bio-Medical Communication (BMC) network nationally with each health science library serving a clearly defined function within a national plan. The operation of the BMC network was decentralized by establishing ten multistate regional medical libraries (RML) which were charged with the responsibility of organizing the optimum health science information delivery system for their region following guidelines developed jointly by the National Library of Medicine and the medical library community. Federal support of the program was converted from a grants system - with minimal administrative control - to a contract system in which specific operational objectives for each of the RML's were negotiated and clearly spelled out and

funded as a performance contract with measurable activities. This transition started in 1970 when NLM realized the federal money could no longer continue to support all health science libraries. Additionally, NLM has developed and implemented a national computer-based network (Medline) in which current health science literature is indexed and retrieval is done by on-line terminals located at carefully selected resource library sites in each of the ten regions. In 1972, due to the reduction of federal funds for MLAA, a third evolutionary phase was implemented, i.e., planning for the discontinuance of "free" service to health science institutions regardless of local effort. Funding formulae contained built in criteria requiring each hospital to provide for meeting 70% of its own needs either internally or by contracting with the RML or through a hospital consortia. Thus, a national hierarchal network has evolved in a coordinated, planned, decentralized structure with specific objectives and performance contracting for specific type and number of clearly identified services. Let's quickly review some of the main characteristics of this model:

a. Planning and administration at three levels - i.e., national, regional (multistate), and state with federal legislative base.
b. A national library of medicine which not only serves as national coordination and funder, but which also provides backup of resources and system.
c. A planned transition from grants to performance contracts of specific tasks at negotiated cost at each hierarchal level designed to fulfill the creation of a national BMC.
d. Incorporation of benefit/cost effective technology in reference services, interlibrary loans, and serials identification on a national scale and in such a manner that any health scientist in the U. S. has access to the system.
e. Planning and monitoring by peer groups of librarians and users through a series of state,

regional, and national advisory councils - with approval authority for new programs which must lead toward the broad objectives of the BMC network.

f. Federal funds designed to supplement - not supplant - support of basic library services and resource development. Incentive funding to stimulate outreach programs and innovative programs to support continuing education.

g. Systematic building on existing library structure within a state, but creation of a new structure and organization at the multistate regional level with decentralization of certain functions from the national level.

This model has the funding, legal, and administrative strength to achieve a viable multi-state regional network. It does depend on a national program - which we do not have in the non-medical sector at this time. Thus, let's look at some other possible organizational models that might be more applicable to our current situation.

2. An Autonomous Regional Organization With Core Staff and Composite Funding

Examples of this type of multi-state regional organizations are SREB, NEBHE, WICHE and, to some extent, SLICE. Certainly, the first three examples illustrate the major characteristics of this type of organization, namely:

a. Legislatively created legal entity via interstate compacts.

b. Legislatively approved budget support from each participating state.

c. Incorporation as a tax exempt institution.

d. Clearly defined functions and authority.

e. Core staff to do planning, program implementation training, and evaluation.

f. Accountable to the elected officials - i.e., the Governor and legislature - of the signatory parties (i.e., states) - or their deputy (i.e., state librarian).

g. Administered by a commission or board, usually appointed in accordance with the laws of the member states or the compact charter.

In other examples of compacts concerning multi-state regions, the federal government may be a party in the compact.

Full discussion of this type of regional organizations with many examples is contained in Advisory Commission on Intergovernmental Relations Report A-39 entitled "Multistate Regionalism" issued in April, 1972.

3. A Regional Affiliation of Autonomous Units

Examples of this type of multi-state organizations are the various regional library associations (such as MPLA, SWLA, SELA, etc.), academic consortia, and, perhaps, such national organizations as ARL. These types of organizations are usually characterized by the following:

a. Minimal authority.
b. Rotating leadership and headquarters site.
c. Limited budgets.
d. Minimal - if any - core staff.
e. No legal basis for operation - unless thru charter of incorporation in a state.
f. Work programs conducted by volunteer (or elected) groups or individuals.
g. Activity levels dependent on leadership and thus varying with changes in leadership.
h. Relative low demand for accountability and reporting.
i. Empowered to enter into contracts.

In spite of these limitations on organizational strengths, some of the organizations of this type have been able to maintain continuity of activity sufficiently to develop meaningful action programs and attract funding. These "successes" have usually taken the form of studies, surveys, or other specific short-term projects such as compilation of regional serial lists, etc. I know of no organization of this type that has successfully operated an on-going service - such as a bibliographic network - over a significantly long period of time.

This type of organization could serve as the catalyst for establishing an antonomous regional organization described in 2 above, if the ingredients are present in the mix.

4. A Strong Service Unit Composed of User/Members

Examples of this type of regional organization are OCLC, RMBC, PNBC and, perhaps, I.I.S.: Characteristics of this type of organization seem to be:

a. Incorporation in one state although serving users in several states.
b. Funding from user/members - and thus funding levels variable depending on volume of activity. Lack of capital for development of new products or services - unless via special grants.
c. Participatory decision making - to a point.
d. Core staff responsible for implementation of policy formulated by members as their elected board.
e. On-going service programs designed to meet specific user needs at a designated fee.
f. Usually not a unit of government (and thus out of the main stream of planning, funding and operation at state levels).
g. Empowered to enter into contracts.

As evidenced by the cited examples, this type of organization has the ability to perform quality services over extended periods of time. Usually, the greater the financial envolvement of the user/members in the services, the stronger the organization. A dependable source of continuous funding and a legal base for interstate activity seem to be the major disadvantages for this organizational approach to networking at the multi-state level. This type of organization does have the flexibility to be self-determining and innovative, if desired by the member/users.

The type of organization selected to serve as the regional interlibrary network "operator" will influence the funding, responsiveness, flexibility, dependability and user satisfaction. Theoretically, an autonomous regional organization created by state-level participation in an interstate compact (type 2 above) seems to bc the most desirable organizational pattern for a successful multi-state network.

C. State, Regional and National Network Planning Efforts

It is difficult to design a network for any region in the absence of a national plan. To date, national leadership and planning has not emerged from the federal sector. To quote from the council on Library Resources Sixteenth Annual Report (1972):

> "It has been obvious for years that the high cost of library automation demands that in all but a few large libraries networks and consortia be formed, both to avoid duplication in effort and expenditures and to share scarce know-how and resources. As these regional groups have developed, the Council has attempted to gauge their impact on library operations, to influence their development in a way which will minimize unfavorable effects, and to advise librarians as to what to expect.
>
> This role devolves upon the Council principally because no existing governmental agency has assumed the responsibility. While it is conceivable that the new National Commission on Libraries and Information Science may ultimately provide such guidance, the enlarged needs of libraries ideally suggest the creation of a national bibliographic center with authority to devise a national bibliographic data base in machine-readable form, to monitor software development, and to ensure that the regional systems evolving to use such services are compatible both with each other and the national libraries. In the present absence of official national guidance, the Council will continue its efforts in encouraging compatibility and standardization among regional centers moving toward automation."

The First Annual Report of the National Commission on Libraries and Information Science (1971-72) identifies the following priorty areas of planning:

1. Information needs of users.
2. Financing of libraries (and networks).
3. Adequacies and deficiencies of present libraries and information systems.
4. Applications of new technology.
5. Improved staffing of libraries.

The findings of these studies are eagerly awaited and will have benefits and implications for regional activities. In turn, the findings of regional studies and planning conferences are of much interest to the Commission. Hopefully, the Commission will develop a broader base of participatory planning and consider the possibilities of compatible regional systems as an alternative to a monolithic national system or a non-system of separate units.

On discussion of national planning I must mention the activities* of ARL and Educom. The relationships of these two activities are not exactly clear but the two organizations seem to be sharing the same consultants - thus some compatibility of the planning is probably assumed.

In the absence of national direction, each state has evolved some type of networking activity. The specific activity and level of sophistication vary among the states. All too frequently each state has - of necessity - planned and implemented various networking projects independently of adjoining states. In some regions, the networking communication links within a state are not technologically compatible with those of adjacent states (Telex vs TWX). Until recently state level planning has not considered the potential of interstate networks at a regional level. The USOE policy - although administered at the regional level - has emphasized Federal-State relations rather than Federal-Region (multi-state) developments.

Within the recent past, it has become increasingly apparent that a multi-state approach might be a viable alternative to improving library resources and services at minimal unit cost. The availability of computer-based bibliographic records and on-line systems has stimulated most of the recent regional planning. Specific on-going regional (multi-state) network planning activities* are being conducted by:

1. NELINET
2. ASERL
3. SELA
4. SWLA (SLICE Project)
5. IUC/TAGER Consortia
6. The various RML programs.

D. Technology and Standardization

If maximum benefits are to be derived from a multi-state network, the use of the most efficient technological aids should be considered. Specifically, this

* Pertinent publications related to each of these activities are listed in the bibliography.

principle suggests the use of telecommunication links for bi-directional message transmission, computer-based bibliographic and locator records on-line, and cathode ray tube (CRT) terminals in each participating node. This system requires considerable initial investment and extensive development cost*. Thus, there has been a tendency to use either totally manual systems (telephone, U. S. mail, typewriter, card files) or a combination of manual plus some mechanization of either the message transmission or the data base operation. Usually, these "combination systems" are operated in an off-line, batch mode thereby incorporating turnaround times of 24-48 hours - or greater. Additionally, these "combination systems" usually do not provide for the maximum use of machine readable bibliographic data - i.e., they require multiple "key-boarding" or processing of the bibliographic data in both input and output phases - thereby increasing the total costs to the user.

One of the major obstacles to an automated system has been the creation of the machine readable data base of bibliographic records. As some libraries have discovered, this can be a very expensive task. However, just as the unit card concept in cataloging has been an acceptable standard practice, the concept of a standard format of each record in machine readable form has become increasingly attractive. The MARC II format has become the international standard for the exchange of bibliographic data (although the ISBD tags are still under some debate). Thus, it is exceedingly important that any proposed multi-state library network be designed to accept, process, and supply bibliographic records in a MARC II format with all tags and delimitors for all fields. Although this may add to the storage or processing costs, adoption of this standard permits the exchange and sharing of data bases and software among networks. Thus, in the long term, considerable cost

* See Kennedy, John P., The Feasibility of Establishing An OCLC-Type Center in the Southeast, on attached bibliography.

savings can be realized while increasing the size (and, thus, the usefulness) of the data base in each network.

On-line bibliographic data bases can serve a variety of functions. An attractive and useful combination of function is the one exhibited by OCLC i.e., shared cataloging plus location of specific items among the member libraries for interlibrary loan* or cooperative acquisitions. In other words, the OCLC system functions as a cataloging service simultaneously fulfilling the function of a union catalog of member library holdings. This dual function becomes more valuable as the data base grows from the cataloging input of member libraries and as the number and size of the membership increases. Thus, the costs of an on-line system are off-set by the value of this dual function enabling the expediting of not only cataloging but the interlibrary loans.

One more brief point on the subject of technology and standardization. In the past, most library automation activities have required using a computer that was available to the library thru the "parent institution". This practice has not only limited the hours of computer access but has also required that each library individually design systems - and write programs - for that specific hardware configuration. Since each parent institution had a different hardware configuration, there was little if any compatibility among the various systems. Also, since most "parent institution" hardware configurations are general purpose (i.e. accounting, computation, tax records, student records, etc.), the resulting library automation systems were not operated at the maximum efficiency achievable from a computer specifically dedicated to nothing but library systems. No one library - and only few states - can afford a dedicated computer of optimum size and speed for nothing but library automation. It is only through organizational sharing of such a facility among libraries (i.e.

* Note that large libraries can be "protected" from excessive interlibrary loan requests in this type of system if the network adopts the protocol of requesting the desired item from the smallest library shown holding the item. This has worked successfully in the case of a system in Louisiana.

a network) that this efficiency can be achieved. Thus, if any library automation is being planned in a region, networking can be very beneficial to all libraries - both large and small. Each benefit from the "economy of scale" provided by the larger organizational base of a regional network.

IV. Regional (Multi-State) Networking Pragmatism: How To Do It

Now, with this background of networking principles and planning concepts, how can an organization such as MPLA proceed to develop a multi-state regional network. Again, there is no simple formula. The following are basic steps that are believed to be essential to the success of such an enterprise.

A. Commitment Phase

The state library agencies, the larger public and academic libraries, and the individual members of the library community must be emotionally, technically, professionally, and financially committed to the concept. There must be general agreement on the goal and desired objectives and that this is a "good thing" for library services in the region. Specific tasks to be performed by the network should be identified.

B. Organizational Phase

The committed agencies, libraries, and individuals must identify an organizational entity to take on the planning, studies, testing and operation of the proposed network. As a minimum, at least one full time staff person (and a budget of $50,000/year) will be required initially. Although ideally an autonomous regional legal entity (type 2 organization*) is theoretically preferred, it will probably be necessary to start with a type 3 or type 4 organizational structure. An early objective should be developing a type 2 structure, however.

C. Needs Refinement Phase

An early task of the staff should be further refinement and specific identification of needs of the region

* Referring to the organizations described on pp. 15.

related to network functions. Specific data should be collected to quantify the scale and magnitude of networking services. Measurable objectives should be formulated as early as possible.

D. Review of Alternatives Phase

Once the needs are specified and objectives formulated, a gross systems design by function can be developed. At this stage, alternative methods of achieving each function should be identified and rough cost data calculated. A variety of alternative designs will be identified, and thus specific criteria of acceptable alternatives will have to be developed.

E. Funding Identification Phase

At this point, hard-nosed decisions will have to be made on funding sources to support the various network components. User fees will need to be identified and estimates of benefit/cost ratio calculated. Another round of financial commitments will probably be necessary.

Throughout all phases, the library community - and the state administrative units - of each state must be involved. Participatory planning is essential. And contact with other regional activities and various national developments are essential to maximize the design of the best system for the region. Probably two years lapsed time will be required to get through Phase E in the above sequence of activities.

Is there another way to do it? Yes. Start with some relatively simple networking component (such as interfacing of existing interlibrary loan networks) and get this operational as soon as possible to show benefits and to gain experience. This approach may not be as orderly but it has the advantage of being achievable with a minimum of planning and development cost. Another approach is to simply adopt a system that has proven satisfactory in another region (such as the OCLC system). As a minimum, this approach requires a feasibility study and steps A-E above with less emphasis on D.

Networking - under the best of circumstances - is not easy. Multi-state regional networking is an even greater challenge. But, the goal will never be reached if you don't start the journey. Is MPLA ready? Only you can answer that.

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ADDENDUM

This paper attempts to review the topic of multistate regional networks as a possible viable concern of a regional library association and as a means of expediting interstate interlibrary cooperation. However, it should be emphasized that networking is only one of many significant activities that could be considered by a regional library association to further that type of cooperation. Specific activities that may assist in achieving further cooperation among libraries in a multistate region are:

1. A planned continuing education project for library staffs to determine needs, identify existing programs, produce instructional units, and develop "delivery systems" throughout the region. (SWLA is engaged in this activity at present.)

2. An inventory of personnel expertise available within the region.

3. A "clearinghouse" of library research activities or special projects in the regions.

4. Bringing together personnel with common concerns in a specialized field (such as library service to nonreaders or basic adult education or technical information banks) and to critically appraise the situation, develop specific goals for improvement, and implement action within the states in the region. (SWLA has this type of project for the concerns of library services to the disadvantaged.)

5. A survey of library resources, budgets, staffs, buildings, special services, etc. in the region to develop census-type data for future planning. (SERL is engaged in this activity at present.)

6. Publication of a regional library journal or newsletter with content of regional interest.

7. Action programs designed to stimulate interchange among the state library associations in the region.

Mrs. Stevenson's report concisely identifies what is required to create and maintain regional library association activities. Networking is only one of many ways for expediting interstate interlibrary cooperation.

The author has intentionally avoided discussing any interstate interlibrary networking that may be in process in the MPLA region. This omission was deliberate since it would be presumptious of the author to discuss MPLA projects without sufficient knowledge of the specific details. It is believed, however, that the general principles expressed in this paper are applicable to the MPLA region. The uniqueness, value, and importance of the Rocky Mountain Bibliographic Center cannot be overlooked in the planning of any type of bibliographic-based network in the region. Perhaps the major challenge to MPLA is the systematic planning for the further integration, support, and mechanization of the RMBC in line with fundamentally sound networking principles.

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